

105 IAC 13 Utility Relocation Guidance

Utility Research

The first step in early coordination is researching available information to identify the utilities that may be located in the geographical limits of the highway improvement project. This step is covered under 105 IAC 13-3-1(b). This step occurs at the start of the survey phase. This step is the responsibility of the Designer for Central Office managed projects and the Utility Coordinator on District managed projects. The process and locations where information may be located varies depending on the type of project. The different types of improvement projects are grouped as INDOT Projects, LPA Projects and Park Projects. This step is referenced as Task 6.01 of the PDP for major projects and step 5.01 of the PDP for minor projects.

Utility Research – Researching Permit Files

(See 105 IAC 13-3-1(b)(1)(A))

The intent of this requirement is for the Designer or Utility Coordinator to check the utility permit files to determine what Utility has been issued permits within the geographical limits of the proposed highway improvement project.

INDOT Projects.

To start the utility research process, obtain the following information.

1. The name of the county the project is in.
2. Highway number the project is on.
3. The beginning and ending roadway reference post number for the project. For projects on new alignment, the above information can only be gathered along the tie in points for the road.

This information may be obtained from the project manager, SPMS schedule, field review or historical plan sheets. Helpful reference post information can also be found at:

<http://www.in.gov/indot/3244.htm>

Contact the following individuals and supply them with the above information to obtain the list of Utilities potentially involved on the project:

For Central Office managed projects: Gail Lee glee@indot.in.gov 317-232-5208

For Crawfordsville managed projects: Doug Gendron dgendron@indot.in.gov 765-361-5227

For Fort Wayne managed projects: Linda Langston llangston@indot.in.gov 260-969-8255

For Greenfield managed project: LaVon Marshall lmarrshall@indot.in.gov 317-467-3475

For LaPorte managed projects: Gregg Kowalski gkowalski@indot.in.gov 219-325-7513

For Seymour managed projects: Chris Bowling cbowling@indot.in.gov 812-524-3721
For Vincennes managed projects: Kelly Cummins kcummins@indot.in.gov 812-895-7370

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information.

LPA Projects.

To start the utility research process, obtain the following information. This information may be obtained from the project manager, SPMS schedule, field review or historical plan sheets.

1. The name of the county and the township the project is in.
2. Street name the project is on.
3. A description of the beginning and ending point of the project referenced to the nearest cross street.

Contact the town, city or county permit office to get a list of utility companies granted permits within the project area.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information.

Park Projects.

To start the utility research process, obtain the following information. This information may be obtained from the project manager, SPMS schedule, field review or historical plan sheets. Roads approaching the park but not on park property shall be treated as an LPA project (see above).

1. The names of the utility companies and any other pertinent data.
2. The name of the county, township and park the project is in.
3. Street name the project is on.
4. A description of the beginning and ending point of the project referenced to the nearest cross street.

Contact the Park Manager to get a list of utility companies granted permits or located within the project area.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information.

Utility Research – Reviewing Map Files Maintained By The Department

(See 105 IAC 13-3-1(b)(1)(B))

The intent of this requirement is for the Designer or Utility Coordinator to check the plans (maps) for previous improvement projects in the vicinity of the current project.

INDOT Projects.

The plans for previous improvement projects may be located either in the Central Office or at the respective District.

To get copies of plans for previous improvement projects from the Central Office contact the INDOT Records Section for plans of historical projects in the geographical limits of the proposed highway improvement project. Go to the INDOT internet home page <http://www.in.gov/indot/>, select “publications” then “online forms” and “INDOT Records & Documents Request Form” to find the required form. Or go there directly with this link <http://www.in.gov/indot/3471.htm> to find the required form. Request the plan sheet that shows a list of utilities.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information

The collection of information from historical plans is already required in the INDOT Design Manual Chapter 22 by surveyors in 2.02(06) and in the development of the engineering report in Chapter 5-2.02.

LPA Projects.

Contact the project sponsor as noted on the SPMS schedule to obtain information on previous improvement projects and plans. If they do not have plans from past projects, copies can also be requested as is done above on INDOT projects.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information

Park Projects.

Contact the project sponsor as noted on the SPMS schedule to obtain information on historical records and plans.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information

Utility Research – Investigating Field Conditions

(See 105 IAC 13-3-1(b)(1)(C))

The intent of this requirement is for the designer or utility coordinator to visit the site of the proposed improvement project and identify the names of utilities and types of facilities through visual inspection.

INDOT, LPA and Park Projects.

At the project site, look for indications of the following types of facilities.

- electric (transmission lines, distribution lines)
- natural gas (markers, vents)
- communications (pedestals, manholes, overhead cables)
- petroleum products (markers, vents)
- water (fire hydrants, valves)
- sanitary sewer (manholes)

At the project site, look at the following for possible utility names.

- manhole covers
- utility markers
- utility vents
- pedestals
- poles

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information

Utility Research – Reviewing Information Provided By IUPPS

(See 105 IAC 13-3-1(b)(1)(D))

The intent of this requirement is for the designer to contact IUPPS to determine the names of utilities with facilities in the geographical limits of the proposed improvement project.

INDOT, LPA and Park Projects.

Indiana 811 (formerly IUPPS) has a web site where you can access information for design purposes. The web site is www.designticket.org. In order to use this site you must first contact Indiana 811 for training. After you receive the training a user name and password will be assigned to you.

In order to get the names of utilities with facilities within the project area you will need to know the county, township and street name where your project will take place. The program will bring up a map where you can then lay out a polygon around the project area. The program will then give you a list of the utilities that have underground facilities in the area.

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information.

Utility Research – Contacting Local Government Offices

(See 105 IAC 13-3-1(b)(1)(E))

The intent of this requirement is for the designer to contact local government officials in nearby city(s) or town(s) to identify the names of utilities within the geographical limits of the proposed improvement project.

INDOT, LPA and Park Projects.

Call the city(s) and town(s) near the proposed improvement project and ask the local officials for the names of the utilities provide services in their geographical area. A good point of contact at the city and town is the town surveyor, the town engineer and the town street superintendent, town or park manager.

A source of names and telephone numbers for the local offices is Indiana LTAP “Directory of Indiana State, County, City and Town Officials”. The directory can be found on the internet at:

<http://rebar.ecn.purdue.edu/LTAP/Resources/Publications/2008%20LTAP%20DirectoryPDF.pdf>

Record the following information, if no information is available make a note of it.

1. The names of the utility companies and any other pertinent data.
2. The person recording the information.
3. The date when the information was obtained.
4. The person that supplied the information.

Initial Notice of Project to Utility

(See 105 IAC 13-3-1(c) and (d))

PDP – Task 6.01.03 Major, Task 5.01.03 Minor

Each utility identified in steps (A) through (E) above needs to be notified of the improvement project by a letter such as in the example “Initial Notice Letter”. This letter will be sent to the authorized representative listed on the INDOT web site. The letter will be sent by certified mail or the utility authorized representative will be contacted within a few days to verify that they received the letter.

The utility has 30 days to respond with:

- (1) description of the type and location of its facilities within the geographical limits of the proposed improvement project; or
- (2) statement that the utility has no facilities within the geographical limits of the improvement project.

A copy of each letter sent and information obtained that the utility received the letter shall be kept in the project file.

Note for INDOT Utility Coordinator – Add each utility sent an initial notice into the utility/railroad log database under the appropriate Des number.

Note for Consultant Coordinator – Once responses to the initial notice are returned, send your INDOT utility representative the following information:

1. A list of all the utility names found in the initial research.
2. The date when the initial notice was sent out.
3. The date that each utility responded to the initial notice.
4. A list of which utilities claimed not to have facilities in the area.
5. If a new contact for the utility was given, supply their contact information also.

Measuring and recording the locations of the field markings (Survey)

(See 105 IAC 13-3-1(e))

PDP – Task 6.01.08 Major, Task 5.01.10 Minor

Following the 30 day initial notice period in subsection (d) the INDOT or the LPA is responsible to call IUPPS so the utilities can locate/mark their facilities that are within the geographical limits of the proposed improvement project in accordance with IC 8-1-26. Once the utility has marked their locations in the field INDOT or the LPA is responsible for measuring and recording the locations of the field markings. The description information from the initial notice should be used by the surveyors to ensure that all the utilities are being marked for the survey. All the utility facilities are then shown on the plan sheets for the project. At minimum the utility facilities should be shown on plan and profile sheets for the project.

The rule does state that the department and the utility may agree on another mutually acceptable format or schedule for the exchange of this information. An example of this is if the utility has “as built” plans they would prefer the department use as information in order to translate locations over onto our project plans. Keep in mind that after we put their locations on our plans it will still be sent to the utility in the next step to verify that it is accurate or inaccurate.

Verification of existing facilities

(See 105 IAC 13-3-2(a))

PDP – Task 6.15 Major, Task 5.15 Minor

The utility coordinator will mail a letter and a set of plans to each utility that has facilities within the project area requesting that they verify their facilities as shown on the plans. An example letter “Location Verification Letter” is available to use when sending these plans.

The utility has the responsibility to review the plans and respond in writing the results of that review. If the review indicates the facilities are accurately shown then the utility will declare such in writing to INDOT or the consultant utility coordinator. If the review indicates the facilities are inaccurately shown then the utility will detail the inaccuracies in writing to INDOT or the consultant utility coordinator. The responsibility to verify facilities is presented at 105 IAC 13-3-3.

The utility may decide to detail the inaccuracies by either describing them in a letter or by clearly marking a set of plans with any inaccuracies.

Any information returned from the utility describing inaccuracies must be supplied to the designer of the project so the utility facilities can be shown accurately on the plans. Once the inaccuracies are corrected the utility should be supplied another set showing the corrections to verify that they are correct.

Work Plan Development

Send Preliminary Plans / Conflict Review Letter

(See 105 IAC 13-3-3(a))

PDP – Task 7.06 Major, Task 6.06 Minor

The utility coordinator will mail a letter and a set of preliminary plans to each involved utility requesting that they review the plans and identify any conflicts between the utility's existing facilities and the proposed highway improvement project. An example letter “Send Preliminary Plans Letter” is available to use when sending out these plans.

The utility will respond in writing with either a declaration that there are no conflicts or a declaration there are conflicts and the details of those conflicts. The utility may make recommendations to change the design to reduce or eliminate these conflicts.

The details of the conflict may be presented either in a tabulation format or on a set of plan sheets. The key pieces of information to identify a point of conflict are: line, station, offset, description of conflicting facility and description of conflicting roadway improvement and a recommendation to resolve the conflict.

The comments received from the utility should be forwarded to the designer of the project to be reviewed. A response mailing to each utility requesting design changes should be sent back and a copy of each kept in the project file.

Send Preliminary Final Plans – Request Work Plan

(See 105 IAC 13-3-3(b))

PDP – Task 11.02 Major, Task 10.02 Minor

The utility coordinator will mail a letter and a set of preliminary final plans to each involved utility requesting that they prepare a utility relocation work plan. An example letter “Send Preliminary Final Plans” is available to use as a guide when sending these plans. The utility should be sent a work plan form or be notified how to get the form so they can use it as they develop their work plan. The work plan form can be found on INDOT’s web site at: www.in.gov/indot/ the clicking on the links of:

- Doing Business with INDOT
- Other Business

A work plan includes a description of the work to be done, the timeframes to do the required work and the relocation plans. For reimbursable work it will also include the cost estimate for the utility work and the utility easement documentation. (See template for complete list of items requested)

The utility should be given 60 days to respond on minor projects and 120 to respond on major projects. The rule does allow for this timeframe for response to increase up to 180 days for unusually complex projects or extensive facility relocations. The utility coordinator for INDOT or the LPA should still be in contact with the utility contact person at time intervals (recommended every 30 days) to see if the utility has any questions or needs additional information. On major projects utility coordination meetings should be held periodically within the 120 day time frame to ensure the utility companies are moving forward with their relocation plans and to answer any questions they may have.

Once the utility companies supply their work plans, the utility coordinator reviews the work plan/relocation plans. If there are conflicts between two or more utility relocation plans then a meeting should be set up to discuss and resolve the issues. The utility is then given an additional 30 days to supply a revised work plan.

The utility has the option of requesting this meeting also if they determine there is potential for conflict with another utility work plan. This request would also then give the utility an additional 30 days to submit their work plan. This requirement is one reason it is critical to have meetings before the work plan deadline date so that issues can be resolved.

If the work plan is not acceptable or reasonable then the utility has two additional 30 day time periods to supply an acceptable work plan. Hopefully with good coordination as the plans go through the previous steps any revisions will be very minor at this point.

Work Plan Approval

INDOT or the LPA will notify the utility once their work plan is approved. A sample “Send Notice of Approved Work Plan and Notice to Proceed” letter is available as a guide when preparing this notice.

It is important to approve the work plan and give notice to proceed 30 days before the utility is required to begin implementation of their work plan. If there are items such as land

acquisition or buying materials that the utility must do as part of their work plan they need to start as soon as possible. The function of the work plan is so the department can be made aware of all the timeframes and requirements needed by the utility so we can take them into account as we let and construct our road improvement project.